

DANN DORFMAN HERRELL AND SKILLMAN, P.C.

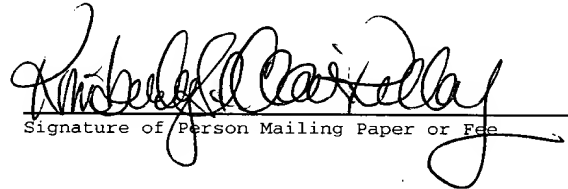
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**CERTIFICATE OF MAILING
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Kimberly St. Clair Kelley
Typed Name of Person Mailing Paper or Fee


Signature of Person Mailing Paper or Fee

Re: U.S. Patent Application No. 09/980,217
International Patent Application No. PCT/GB00/02072
Entitled: POLYKETIDES AND THEIR SYNTHESIS
International Filing Date: 30 May 2000
Earliest Claimed Priority Date: 28 May 1999
Our File No. 0380-P02746US0

Enclosures:

- Transmittal Letter to the DO/EO/US Concerning a Filing Under 35 U.S.C. §371 (in duplicate)
- Declaration, Power of Attorney and Power to Inspect
- Transmittal Paper Submitting Sequence Listing (in duplicate)
- Paper Copy of Sequence Listing
- Disk Containing Computer-Readable Copy of Sequence Listing
- Check in the Amount of \$90.00

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| FORM PTO-1390 (REV 10-95) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY'S DOCKET NUMBER | |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | | | 0380-P02746US0 | |
| | | | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 09/980,217 | |
| INTERNATIONAL APPLICATION NO. PCT/GB00/02072 | | INTERNATIONAL FILING DATE 30 May 2000 | | PRIORITY DATE CLAIMED 28 May 1999 | |
| TITLE OF INVENTION POLYKETIDES AND THEIR SYNTHESIS | | | | | |
| APPLICANT(S) FOR DO/EO/US LEADLAY, Peter Francis et al. | | | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | | | |
| <p>1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).</p> <p>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.</p> <p>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been transmitted by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> have been transmitted by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p style="margin-left: 20px;">d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> | | | | | |
| Items 11. to 16. below concern document(s) or information included: | | | | | |
| <p>11. <input type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A FIRST preliminary amendment.</p> <p style="margin-left: 20px;"><input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>14. <input type="checkbox"/> A substitute specification.</p> <p>15. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>16. <input checked="" type="checkbox"/> Other items or information:</p> <p style="margin-left: 40px;">Transmittal Paper Submitting Sequence Listing (in duplicate)</p> <p style="margin-left: 40px;">Paper Copy of Sequence Listing</p> <p style="margin-left: 40px;">Disk Containing Computer-Readable Copy of Sequence Listing</p> | | | | | |

U.S. APPLICATION NO. (if known, see 37 CFR 1.5)
09/980,217

INTERNATIONAL APPLICATION NO.
PCT/GB00/02072

ATTORNEY'S DOCKET NUMBER
0380-P02746US0

17. ☐ The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):

Search Report has been prepared by the EPO or JPO

International preliminary examination fee paid to USPTO (37 CFR 1.482)
.....

No international preliminary examination fee paid to USPTO (37 CFR 1.482)
but international search fee paid to USPTO (37 CFR 1.445(a)(2))

Neither international preliminary examination fee (37 CFR 1.482) nor
international search fee (37 CFR 1.445(a)(2)) paid to USPTO

International preliminary examination fee paid to USPTO (37 CFR 1.482)
and all claims satisfied provisions of PCT Article 33(2)-(4)

ENTER APPROPRIATE BASIC FEE AMOUNT =

CALCULATIONS PTO USE ONLY

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE |
|---------------------------------------------|--------------|--------------|------|
| Total claims | - 20 = | | X |
| Independent claims | - 3 = | | X |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + |

TOTAL OF ABOVE CALCULATIONS =

Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement
must also be filed (Note 37 CFR 1.9, 1.27, 1.28).

SUBTOTAL =

Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

TOTAL NATIONAL FEE =

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +

TOTAL FEES ENCLOSED =

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90.00 00

| | |
|---------------------------|----|
| Amount to be: refunded | \$ |
| charged | \$ |

a. ☒ A check in the amount of \$ 90.00 to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 04-1406. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

HAGAN, Patrick J.
Dann Dorfman Herrell and Skillman, P.C.
1601 Market Street, Suite 720
Philadelphia, Pennsylvania 19103
United States of America

SIGNATURE:

Patrick J. Hagan

NAME

27,643

REGISTRATION NUMBER

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of)
)
Peter Francis Leadlay et al.)
)
Serial No. 09/980,217)
)
Filed: November 28, 2001)
)
For: POLYKETIDES AND THEIR)
SYNTHESIS)

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS UNDER 35
U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE**

The following submission is in response to the March 6, 2002 Notification Of Missing Requirements Under 35 U.S.C. §371 In the United States Designated/Elected Office.

To comply with the requirements under 37 C.F.R. §§1.821-1.825, submitted herewith is a sequence listing of the amino acids and nucleotides presented in the above-referenced application. The sequence listing is being submitted in both paper copy and computer-readable form. Applicants respectfully request entry of the sequence listing into the above identified patent application. The undersigned hereby verifies that the paper copy and computer readable form of the sequence listing are identical and do not contain any new matter.

In the event that a fee is required, the Commissioner is authorized to charge the account of the undersigned, Account No. 04-1406. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

DANN, DORFMAN, HERRELL AND SKILLMAN
A Professional Corporation

By Patrick J. Hagan
Patrick J. Hagan, Esq.
PTO Registration No. 27,643

Telephone: (215) 563-4100